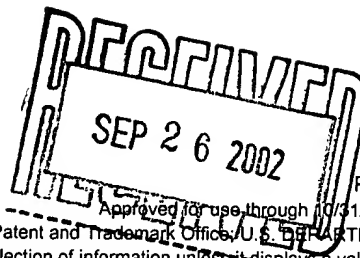




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2131 #5 10-7-02

PTO/SB/21 (08-00)

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<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	<b>Application Number &amp; Confirmation Number</b>	09/896,039	1345
	<b>Filing Date</b>	6/29/2001	
	<b>First Named Inventor</b>	Frey	
	<b>Group Art Unit</b>	2131	SEP 18 2002
	<b>Examiner Name</b>	Technology Center 2100	
<b>Total Number of Pages in This Submission</b>		<b>Attorney Docket Number</b>	PLM005001

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**ENCLOSURES (check all that apply)**

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Copies of Cited Documents, Postcard
<b>Remarks</b>		

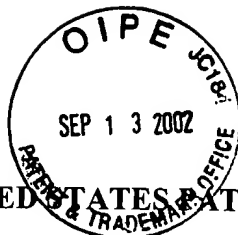
**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

<b>Firm or Individual name</b>	Richard A. Dunning, Jr.
<b>Signature</b>	
<b>Date</b>	9/10/02

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<b>Type or printed name</b>	Richard A. Dunning, Jr.		
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UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Frey et al.

Art Unit : 2131

Serial No. : 09/896,039

Examiner :

Filed : 6/29/2001

Conf. No. : 1345

Title : SYSTEM AND METHOD FOR ADMINISTERING SECURITY IN A  
CORPORATE PORTAL

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SEP 18 2002

Technology Center 2100

Commissioner for Patents  
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §§ 1.56 and 1.97-98**

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is a modified form PTO-1449 listing documents for consideration by the Examiner.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of documents, or that inclusion of a document in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

This Information Disclosure Statement is being filed:

- ☒ within three months of the filing date of the application, or date of entry into the national stage of an international application, or before the mailing date of a first office action on the merits, whichever event last occurred;
- ☐ before the mailing of a first official action after the filing of a request for continued examination (RCE) under 37 CFR § 1.114;
- ☐ after three months from the filing date of this national application or the date of entry of the national stage in an international application, or after the mailing date of the first official action on the merits, whichever event last occurred, but before the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; or (2) an action that otherwise closes prosecution in the application, and:

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

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9/10/02

Signature

Richard A. Dunning, Jr.

Typed or Printed Name of Person Signing Certificate

- ☐ attached hereto is the fee set forth under 37 CFR § 1.17(p) for submission of this Information Disclosure Statement under 37 CFR § 1.97(c); OR
- ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that:
  - ☐ each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
  - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement;
- ☐ before the payment of the issue fee but after the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; or (2) an action that otherwise closes prosecution in the application, and:
  - ☐ Applicant certifies pursuant to 37 CFR. § 1.97(e) that:
    - ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or
    - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement; AND
  - ☐ attached hereto is the fee set forth under 37 CFR § 1.17 (p) for submission of this Information Disclosure Statement under 37 CFR § 1.97(c); OR
- ☐ after the payment of the issue fee. Applicant requests that the information contained in this Information Disclosure Statement be placed in the file according to 37 CFR § 1.97(i), although the information may not be considered by the USPTO.
- ☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application No. \_\_/\_\_, filed on \_\_\_\_\_, and the documents cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).
- ☐ Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application, and the communication was not received by any individual designated in 37 CFR § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement. 37 CFR § 1.704(d).

Applicant : Frey  
Serial No. : 09/896,039  
Filed : 6/29/2001

Attorney's Docket No.: PLM005001

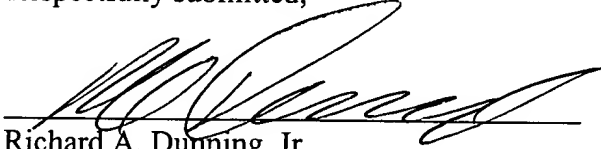
Page: 3

☒ Applicant submits that no fee is required for the consideration of this Information Disclosure Statement.

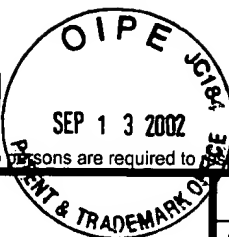
Consideration of the listed documents and favorable action are respectfully requested.

Date: 9/6/02  
Law Office of Richard A. Dunning, Jr.  
343 Soquel Avenue, Suite 311  
Santa Cruz, CA 95062  
Telephone: 831.420.0561  
Facsimile: 413.541.0092

Respectfully submitted,

  
Richard A. Dunning, Jr.  
Attorney/Agent for Applicant(s)  
Reg. No. 42502

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# **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(use as many sheets as necessary)

## **Complete if Known**

Appl. No. & Conf. No.	09/896,039	1345
Filing Date	6/29/2001	
First Named Inventor	FREY et al.	
Group Art Unit	2131	
Examiner Name	T. Johnson	
Attorney Docket Number	Technology Center 2100	

Sheet 1 of 2

## **U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code* (if known)			
	B	5,754,755		Smith Jr.	05-19-1998	
	C	5,819,271		Mahoney et al.	10-06-1998	
	D	5,894,554		Lowery et al.	04-13-1999	
	E	5,907,837		Ferrel et al.	05-25-1999	
	F	5,974,445		Pivnichny et al.	10-26-1999	
	G	6,014,137		Burns	01-11-2000	
	H	6,014,638		Burge et al.	01-11-2000	
	I	6,026,433		D'Arlach et al.	02-15-2000	
	J	6,065,120		Laursen et al.	05-16-2000	
	K	6,112,192		Capek et al.	08-29-2000	
	L	6,128,663		Thomas	10-03-2000	
	M	6,134,548		Gottzman et al.	10-17-2000	
	N	6,161,126		Wies et al.	12-12-2000	
	O	6,185,614	B1	Cuomo et al.	02-06-2001	

## **FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>2</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				

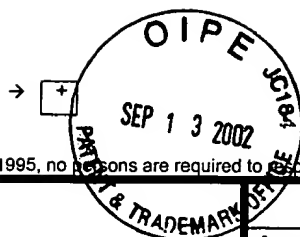
Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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Sheet 2 of 2

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Appl. No. & Conf. No.	09/896,039	1345
Filing Date	6/29/2001	
First Named Inventor	Frey et al.	
Group Art Unit	2131	SEP 18 2002
Examiner Name	Technology Center 2100	
Attorney Docket Number	PLM005001	

### OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	P	Method for Providing Personalized Information on the Web, IBM TDB, October 1997, vol. 40, No. 10, pages 3-6.	
	Q	Kerberos Papers and Documentation, <a href="http://web.mit.edu/kerberos/www/papers.html">http://web.mit.edu/kerberos/www/papers.html</a>	
	R	T. Dierks, et al., The TLS Protocol Version 1.0, <a href="http://www.ietf.org/rfc/rfc2246.txt">http://www.ietf.org/rfc/rfc2246.txt</a>	
	S	Microsoft Passport Technical White Paper, March 2001, <a href="http://www.passport.com/downloads/TechnicalWhitePaper.doc">http://www.passport.com/downloads/TechnicalWhitePaper.doc</a>	
	T	Netegrity SiteMinder® 5.0, <a href="http://www.netegrity.com/products/index.cfm?leveltwo=SiteMinder">http://www.netegrity.com/products/index.cfm?leveltwo=SiteMinder</a>	
	U	IBM Tivoli Access Manager for Business Integration, <a href="http://www.tivoli.com/products/index/access-mgr-bus-integration/">http://www.tivoli.com/products/index/access-mgr-bus-integration/</a>	
	V	IBM Tivoli Access Manager for e-business, <a href="http://www.tivoli.com/products/index/access-mgr-e-bus/">http://www.tivoli.com/products/index/access-mgr-e-bus/</a>	
	W	IBM Tivoli Access Manager for Operating Systems, <a href="http://www.tivoli.com/products/index/access-mgr-operating-sys/">http://www.tivoli.com/products/index/access-mgr-operating-sys/</a>	
	X	Oblix NetPoint™ Product Description, <a href="http://www.oblix.com/products/netpoint/net_description.html">http://www.oblix.com/products/netpoint/net_description.html</a>	
	Y	RSA ClearTrust Web Access Management for Secure e-Business, <a href="http://www.rsasecurity.com/products/cleartrust/">http://www.rsasecurity.com/products/cleartrust/</a>	
	Z	Baltimore SelectAccess Introducing SelectAccess 5.0, <a href="http://www.baltimore.com/selectaccess/index.asp">http://www.baltimore.com/selectaccess/index.asp</a>	

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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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